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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

920476-94915

First Inventor

Robin Rickard

Title

Optical Sub-Carrier Multiplexed Transmission

Express Mail Label

EV 402896073 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Mail Stop Patent Application
Commissioner for Patents
P. O. Box 1450
Alexandria VA 22313-1450

- 1.
- ☒
- Fee Transmittal Form (e.g., PTO/SB/17)
-
- (Submit an original, and a duplicate for fee processing)

- 2.
- ☐
- Applicant claims small entity status.
-
- See 37 CFR 1.27.

- 3.
- ☒
- Specification [Total Pages
- 38**
-]
-
- (preferred arrangement set forth below)

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

- 4.
- ☒
- Drawing(s) (35 U.S.C. 113) [Total Sheets
- 11**
-]

5. Oath or Declaration [Total Pages
- 3**
-]

- a.
- ☒
- Newly executed (original or copy)

- b.
- ☐
- Copy from a prior application (37 CFR 1.63(d))
-
- (for continuation/divisional with Box 18 completed)

- i.
- ☐
- DELETION OF INVENTOR(S)**
-
- Signed statement attached deleting inventor(s)
-
- named in the prior application, see 37 CFR
-
- 1.63(d)(2) and 1.33(b).

- 6.
- ☐
- Application Data Sheet. See 37 CFR 1.76

- 7.
- ☐
- CD-ROM or CD-R in duplicate, large table or
-
- Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission
-
- (if applicable, all necessary)

- a.
- ☐
- Computer Readable Form (CRF)

- b. Specification Sequence Listing on:

- i.
- ☐
- CD-ROM or CD-R (2 copies); or

- ii.
- ☐
- Paper

- c.
- ☐
- Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- 9.
- ☒
- Assignment Papers (cover sheet & document(s))

- 10.
- ☐
- 37 CFR 3.73(b) Statement
- ☒
- Power of Attorney
-
- (when there is an assignee)

- 11.
- ☐
- English Translation Document (if applicable)

- 12.
- ☐
- Information Disclosure Statement (IDS)/PTO-1449
- ☐
- Copies of IDS
-
- Citations

- 13.
- ☐
- Preliminary Amendment

- 14.
- ☒
- Return Receipt Postcard (MPEP 503)
-
- (Should be specifically itemized)

- 15.
- ☐
- Certified Copy of Priority Document(s)
-
- (if foreign priority is claimed)

- 16.
- ☒
- Nonpublication Request under 35 U.S.C. 122
-
- (b)(2)(B)(i). Applicant must attach form PTO/SB/35
-
- or its equivalent.

- 17.
- ☐
- Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner

Group / Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

Customer Number:

23644

or ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

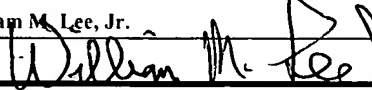
Name (Print/Type)

William M. Lee, Jr.

Registration No. (Attorney/Agent)

26,935

Signature



Date

October 6, 2003

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



17414 U.S. PTO

PTO/SB/17 (08-03)
Approved for use through 07/31/2006. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) \$2,834.00

Complete if Known

Application Number	To Be Assigned
Filing Date	Herewith
First Named Inventor	Robin Richard
Examiner Name	
Art Unit	
Attorney Docket No.	920476-94915

METHOD OF PAYMENT (check all that apply)		FEE CALCULATION (continued)																																												
<input checked="" type="checkbox"/> Check	<input type="checkbox"/> Credit card	3. ADDITIONAL FEES																																												
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<input checked="" type="checkbox"/> Charge any additional fee(s) during the pendency of this application																																														
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FEE CALCULATION																																														
1. BASIC FILING FEE																																														
<table><thead><tr><th>Large Entity</th><th>Small Entity</th><th>Fee Code</th><th>Fee (\$)</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>1001</td><td>2001</td><td>750</td><td>375</td><td>Utility filing fee</td><td>770.00</td></tr><tr><td>1002</td><td>2002</td><td>330</td><td>165</td><td>Design filing</td><td></td></tr><tr><td>1003</td><td>2003</td><td>520</td><td>260</td><td>Plant filing fee</td><td></td></tr><tr><td>1004</td><td>2004</td><td>750</td><td>375</td><td>Reissue filing</td><td></td></tr><tr><td>1005</td><td>2005</td><td>160</td><td>80</td><td>Provisional filing fee</td><td></td></tr><tr><td colspan="5">SUBTOTAL (1)</td><td>(\$)</td><td>\$770.00</td></tr></tbody></table>		Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid	1001	2001	750	375	Utility filing fee	770.00	1002	2002	330	165	Design filing		1003	2003	520	260	Plant filing fee		1004	2004	750	375	Reissue filing		1005	2005	160	80	Provisional filing fee		SUBTOTAL (1)					(\$)	\$770.00		
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Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid																																									
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		1252 410 2252 205 Extension for reply within second month																																												
		1253 930 2253 465 Extension for reply within third month																																												
		1254 1,450 2254 725 Extension for reply within fourth month																																												
		1255 1,970 2255 985 Extension for reply within fifth month																																												
		1401 320 2401 160 Notice of Appeal																																												
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		1403 280 2403 140 Request for oral hearing																																												
		1451 1,510 1451 1,510 Petition to institute a public use proceeding																																												
		1452 110 2452 55 Petition to revive - unavoidable																																												
		1453 1,300 2453 650 Petition to revive - unintentional																																												
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		1502 470 2502 235 Design issue fee																																												
		1503 630 2503 315 Plant issue fee																																												
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		1806 180 1806 180 Submission of Information Disclosure Statement																																												
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		1810 750 2810 375 For each additional invention to be examined (37 CFR § 1.129(b))																																												
		1801 750 2801 375 Request for Continued Examination (RCE)																																												
		1802 900 1802 900 Request for expedited examination of a design application																																												
		Other fee (specify)																																												
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SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	William M. Lee, Jr.	Registration No. (Attorney/Agent)	26,935
Signature	<i>William M. Lee, Jr.</i>	Telephone	312-357-1313
		Date	October 6, 2003

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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WJR
920476-94915

Optical Sub-Carrier Multiplexed Transmission

Ser/Patent No. To be assigned

Date Filed/Issued: Herewith

Express Mail mailing,
Utility Patent Application Transmittal,
Fee Transmittal for FY 2003,
Patent recordation form cover sheet,
Assignment,
Nonpublication Request Under 35 USC,
Power of Attorney for Patent Application,
Declaration for Utility Patent Application,
38 page specification including 59 claims and Abstract,
11 sheets of drawings,
return postcard.

Due Date: October 6, 2003

Date Sent: October 6, 2003

Express Mail" mailing label number

EV 402896073 US
of deposit: October 6, 2003

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Kathy Kurek
(Typed or printed name of person mailing paper or fee)

Kathy Kurek
(Signature of person mailing paper or fee)

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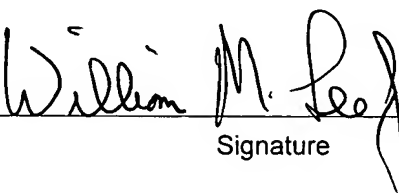
**NONPUBLICATION REQUEST
UNDER
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor	Robin Rickard	
Title	Optical Sub-Carrier Multiplexed Transmisstion	
Atty Docket Number	920476-94915	

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

October 6, 2003

Date


Signature

312-357-1313

Telephone number

William M. Lee, Jr.

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

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